

PART B - FEE(S) TRANSMITTAL

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(Signature)
(Date)

21890 7590 01/05/2009

PROSKAUER ROSE LLP
 PATENT DEPARTMENT
 1585 BROADWAY
 NEW YORK, NY 10006-8299

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/597,881 06/20/2000 Robert Rademacher 74577-051 5018

TITLE OF INVENTION: LEVERAGE MARGIN MONITORING AND MANAGEMENT

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
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nonprovisional NO \$1510 \$0 \$0 \$1510 04/06/2009

EXAMINER	ART UNIT	CLASS-SUBCLASS
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POINVIL, FRANTZY 3696 705-036000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.27)

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.
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2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively,
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1 Proskauer Rose LLP
 2
 3

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY AND STATE OR COUNTRY)

UBS AG Zurich, Switzerland

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

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5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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Authorized Signature Todd A. Gerety

Date April 3, 2009

Typed or printed name Todd A. Gerety

Registration No. 51,729

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